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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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Steven Rizzi

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BANNER & WITCOFF

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WASHINGTON, DC 20001

EXAMINER

JANVIER, JEAN D

ART UNIT

PAPER NUMBER

3622

DATE MAILED: 06/30/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/876,173

**Applicant(s)**

RIZZI ET AL.

**Examiner**

Jean Janvier

**Art Unit**

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**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

## **DETAILED ACTION**

### ***Specification***

Please review the specification to correct some "typo problems".

### ***Claim status***

Claims 1-30 are currently pending in the Application.

### **Claim Objections**

Claims 2-20 and 22-29 are objected to because of the following informalities-

Concerning dependent claims 2-20 and 22-29 respectively, "A system" and "A method" should apparently be - -The system- - and - -The method--.

Appropriate corrections are required.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 19 is rejected under 35 USC 112, second paragraph as being indefinite for reciting the auxiliary verb "can".

### Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-30 are rejected under 35 U.S.C. 102(b) as being anticipated by Gerace, WO 97/41673.

As per claims 1-30, Gerace discloses a system for displaying advertisements to a user, over the Internet, based on the user's preferences (interests, habits or psychographic or **behavioral profile** or specification information). The user's psychographic profile and demographic profile are collected from the user during a registration or an enrollment or sign-up process. **Thereafter, the psychographic profile is constantly refined using the user's viewing habits (or exposure to content) and computer activity.** Further, content of categories of interest and display format in each category are included in the psychographic profile as a result of the user's viewing or browsing activities **(tracking the user's interactions with displayed content (text) or targeted ad information, using this interaction to refine the user's profile that is utilized to present more targeted advertisements to the user).** Consequently, targeted advertisements are appropriately displayed to the selected user via his computer screen,

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based on the user's psychographic profile (viewing habits), when he logs, using his password or identifier and login name, into the system to request a primary content and wherein these advertisements are constantly being refined in accordance with the user's interaction or viewing activities or psychographic or behavioral profiles.

(Requesting by a user from a web server agate information or text (web page content), providing advertisements retrieved from the web server (advertising server) and the requested content to the user, wherein the advertisements are displayed on the user's screen along with the requested content or text....).

See abstract; figs. 2, 3B-3G; p. 3: 2 to p. 5: 19; p. 13: 1-22; p. 39: 22 to p. 45: 7.

Furthermore, the user is exposed to various primary contents (objects or textual content) or agate information, such as weather, news, stock, etc., when he logs in using a piece of software or program 31 (applet received from the web server). Program 31, after many sessions, collects information indicative of the user's categories of interest **and automatically tailors advertisements to the user, based on the user's interactions with the user's categories of interest, to the user and in accordance with the (an) advertiser's criteria (promotional heuristics) to present the advertisements.** As such, each time the user logs on, program 31 features or displays items (primary content or agate information), before distributing advertisements including product promotions, that are more interesting and/or appealing to the user (displaying advertisements based on textual information). **When the user selects (i.e., "clicks on") a displayed advertisement, the corresponding Ad Package Object 33b of fig. 5B records a "click through". This affects the ranking and criteria weighting calculations and further refines the terms of elements to be displayed/presented to the user. Thus the**

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**present system \provides a means and method for continually refining the target profile for advertisements** (tracking or monitoring the user's reaction to a displayed advertisement as recorded by Ad Package 33b or database.... -p. 32: 26 to p. 33: 8; p. 21: 18-37).

In addition, Gerace discloses a system wherein advertisements will be shown to a user who logs into the system to read (requested) primary suggested or anticipated content or agate information in accordance with the user's viewing habits matching an advertiser's targeted profile or criteria (promotional heuristics) based on a weighting scale (comparison) (p. 23: 15-27; p. 28: 25 to p. 29: 34; p. 34: 25-34).

Advertising information and desired ads of an advertiser's are stored in ad package object 33c (or 33b) and 33d (database) respectively. User's profile, including psychographic viewing data (exposure to primary content), is stored in module 73, advertising data are recorded in module 75 and agate information or primary content is stored in module 71, coupled to Web Server 27 running program controller or software application 79 (fig. 2; p. 8: 1-37; p. 34: 20-24).

A subroutine coupled to a module performs a regression analysis on the recorded history of users viewing the displayed ads. The subroutine refines profiles of the users based on the regression analysis. Preferably, the regression analysis weights the relative importance of psychographic characteristics of users. Over time, the advertisements are better targeted to users.

**Moreover, a sponsor and user objects track how many times each advertisement information is shown, selected, and/or triggered a purchase by users (tracking the user's reaction to a displayed ad....). In other words, the sponsor and user objects track performance of the advertisements provided by the sponsor or advertiser and a performance routine or module, employing a regression analysis techniques, provides a**

**performance reports to advertisers or sponsors, who may refine or adjust the weighting assigned to each advertisement object related to an advertisement based on the performance of one or more advertisements displayed to a plurality of targeted users in an effort to maximize/optimize the success of the ads displayed through the network.**

Moreover, a generated and detailed packaged report provides information on individual ad packages. The required demographic profiling and demographic breakdown of success with respect to a targeted group and the number of hits and click-through purchases generated are included in the detailed package report. In the demographic response rates report, all ads from a sponsor or selected ones and the ad success with the sponsor-targeted groups are compared or reviewed. To do so, a regression analysis is performed on the demographically targeted groups who viewed the ads and the results of the analysis are used to suggest other demographic characteristics of importance, which may help achieve the number of click-throughs and/or triggered purchases. In other words, the system modifies or refines the demographic parameters of the ad objects based on the statistical data collected from the users who were exposed to the ads, wherein, following this modification, the system re-compares the demographics of the users to the sponsor's specified and modified demographic factors to determine if one or more users are good candidates to receive the sponsor's ads. A sponsor-user logs into the system and uses authentication information (password/company's ID, login name) stored in the server database, to access the server and view an associated report stored in the server database. The sponsor (sponsor-user) uses the same credentials or authentication information to download crafted advertisements to the server to be stored in the database)

(P. 34: 35 to P. 37: 21).

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(Page 4: 9-21; page 5: 10-19; page 9: 26 to page 10: 3; page 25: 1-20 ; page 28 : 25 to page 29: 12 ; **page 29 : 13-34.**

In general, Gerace discloses a method and apparatus for providing targeting of appropriate audience based on psychographic or behavioral profiles of end users. The psychographic profile is formed by recording computer activity and viewing habits of the end users viewing or reading content. Content of categories of interest and display format in each category are revealed by the psychographic profile, based on user viewing of agate information. Using the profile (without additional user demographics), advertisements are displayed to appropriately selected users and in accordance with the advertiser's criteria. Based on regression analysis of recorded responses of a first set of users viewing the advertisements, the target user profile is refined. Viewing by and regression analysis of recorded responses of subsequent sets of users continually auto-targets and customizes ads for the optimal end user audience. In other words, the system uses agate information or content to determine the profile of a computer user, and in particular the behavioral or psychographic profile, **as distinguished from the demographic profile**, of the user (See abstract; P. 3: 1-16).

### **Claim Rejections - 35 USC § 102**

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for



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purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-30 are rejected under 35 U.S.C. 102(e) as being anticipated by Graham, USP 6,804,659.

As per claims 1-30, Graham discloses an Internet target marketing system, method and computer program for distributing online advertising messages to viewers based upon the viewers' interests. One specific embodiment uses an n-way matching of user's concepts of interest, advertiser's concepts (criteria to display advertisements) and a currently viewed document to target advertising to the view of the current document. Some other embodiments generate a contextually sensitive advertisement for each page viewed in a browser, thereby associating an advertisement with every page in a document. Specific embodiments can associate advertising messages with documents that are substantially free of embedded advertisements. Alternative embodiments can include embedded advertising (see abstract).

In one specific embodiment of the present system, a method for targeting advertising to a user based upon content of an active document is provided. An active document can be one that is presently displayed to a user, for example. However, in some embodiments, an active document can be one that is being processed by a daemon or background process. The method includes analyzing at least one document to identify discussion of information corresponding to one or more user selectable concepts of interest. This analysis can provide a user concept relevance, which can comprise a measure of relevance of the document to one or more concepts

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defined by the user. The method can also include analyzing the document to identify discussion of information corresponding to one or more advertiser selectable concepts of interest. This analysis can provide an advertiser concept relevance, which can comprise a measure of relevance of the document to one or more concepts defined by the advertiser. The method can also include comparing the user concept relevance and the advertiser concept relevance for the document to determine an overall relevance. Selecting advertising having a particular overall relevance can also be part of the method. The particular relevance can be the greatest relevance, least relevance, or within a range of greatest or least relevance, for example. The method can also include displaying the advertisement selected to a user.

In another embodiment, a system for targeting advertising to a user based upon content of one or more documents displayed to the user is provided. The system comprises a profile content recognizer that analyzes contents of documents for information corresponding to one or more user selectable concepts. The profile content recognizer provides an output of concepts contained in the document that correspond to the one or more user selectable concepts. The system also comprises an advertising content recognizer that analyzes content of documents for information corresponding to one or more advertiser selectable concepts. A comparator compares the output from the profile content recognizer and the output from the advertising content recognizer and selects from a plurality of stored advertisements ones that are relevant to the information contained in the documents based upon the comparison.

Figs. 1-11; Col. 1: 51 to col. 3: 44).

Please consider the entire disclosure.

### **Conclusion**

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

USP 6,029,195 to Herz relates to customized electronic identification of desirable objects, such as news articles, in an electronic media environment, and in particular to a system that automatically constructs both a "target profile" for each target object in the electronic media based, for example, on the frequency with which each word appears in an article relative to its overall frequency of use in all articles, as well as a "target profile interest summary" for each user, which target profile interest summary describes the user's interest level in various types of target objects. The system then evaluates the target profiles against the users' target profile interest summaries to generate a user-customized rank ordered listing of target objects most likely to be of interest to each user so that the user can select from among these potentially relevant target objects, which were automatically selected by this system from the plethora of target objects that are profiled on the electronic media. Users' target profile interest summaries can be used to efficiently organize the distribution of information in a large scale system consisting of many users interconnected by means of a communication network. Additionally, a cryptographically-based pseudonym proxy server is provided to ensure the privacy of a user's target profile interest summary, by giving the user control over the ability of third parties to access this summary and to identify or contact the user.

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Any inquiry concerning this communication from the Examiner should be directed to Jean D. Janvier, whose telephone number is (571) 272-6719. The aforementioned can normally be reached Monday-Thursday from 10:00AM to 6:00 PM EST. If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's Supervisor, Mr. Eric W. Stamber, can be reached at (571) 272- 6724.

Non-Official- 571-273-6719.

Official Draft : 571-273-8300

06/23/06

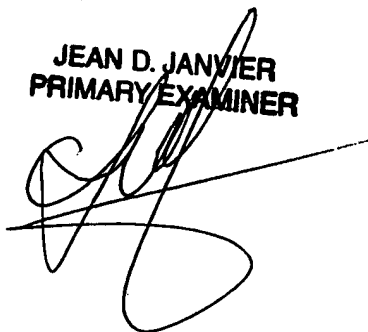
JDJ

Jean D. Janvier

Patent Examiner

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**JEAN D. JANVIER  
PRIMARY EXAMINER**

A handwritten signature in black ink, appearing to be 'JDJ', is written over the printed name and title of the examiner.